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NOTICE OF ALLOWANCE AND FEE(S) DUE

69316 7590 02/22/2011 MICROSOFT CORPORATION ONE MICROSOFT WAY REDMOND, WA 98052 EXAMINER
SHAH, PARAS D

ART UNIT PAPER NUMBER

2626

DATE MAILED: 02/22/2011

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
10/761 451	01/20/2004	Dong Yu	306536.01	3046	

TITLE OF INVENTION: AUTOMATIC SPEECH RECOGNITION LEARNING USING USER CORRECTIONS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	05/23/2011

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN <u>THREE MONTHS</u> FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. <u>THIS STATUTORY PERIOD CANNOT BE EXTENDED.</u> SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: Mail Mail Stop ISSUE FEE

Commissioner for Patents P.O. Box 1450

Alexandria, Virginia 22313-1450 (571)-273-2885 or <u>Fax</u>

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address) have its own certificate of mailing or transmission. 69316 02/22/2011 Certificate of Mailing or Transmission MICROSOFT CORPORATION I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below. ONE MICROSOFT WAY REDMOND, WA 98052 (Depositor's name (Signature (Date APPLICATION NO. FILING DATE FIRST NAMED INVENTOR ATTORNEY DOCKET NO. CONFIRMATION NO. 10/761.451 01/20/2004 Dong Yu 306536.01 3046 TITLE OF INVENTION: AUTOMATIC SPEECH RECOGNITION LEARNING USING USER CORRECTIONS DATE DUE ISSUE FEE DUE PUBLICATION FEE DUE PREV. PAID ISSUE FEE TOTAL FEE(S) DUE APPLN, TYPE SMALL ENTITY NO \$1510 \$300 \$0 \$1810 05/23/2011 nonprovisional **EXAMINER** ART UNIT CLASS-SUBCLASS SHAH, PARAS D 704-231000 2626 1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363). 2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached. (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required. 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type) PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment. (B) RESIDENCE: (CITY and STATE OR COUNTRY) (A) NAME OF ASSIGNEE 4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above) 4a. The following fee(s) are submitted: lssue Fee A check is enclosed. ☐ Publication Fee (No small entity discount permitted) Payment by credit card. Form PTO-2038 is attached. The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number ______ (enclose an extra copy of this for Advance Order - # of Copies _ (enclose an extra copy of this form). 5. Change in Entity Status (from status indicated above) ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2). a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office. Authorized Signature Date Typed or printed name Registration No. This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and an apparation. Community is governed by 53 0.3.C. 122 and 57 CFR 1.14. Inis collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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ONE MICROSOF REDMOND, WAS			ART UNIT	PAPER NUMBER	
			2626		

DATE MAILED: 02/22/2011

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)

(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 669 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 669 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- 1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
- 2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
- 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

	Application No.	Applicant(s)	
	10/761,451	YU ET AL.	
Notice of Allowability	Examiner	Art Unit	
	PARAS SHAH	2626	
	PARAS SHAH	2626	
The MAILING DATE of this communication apperall claims being allowable, PROSECUTION ON THE MERITS IS herewith (or previously mailed), a Notice of Allowance (PTOL-85) NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT R of the Office or upon petition by the applicant. See 37 CFR 1.313	(OR REMAINS) CLOSED or other appropriate committee in the committee of the	in this application. If not included nunication will be mailed in due cou	rse. THIS
1. $igspace$ This communication is responsive to <u>RCE filed on 12/20/2</u>	<u>010</u> .		
2. \boxtimes The allowed claim(s) is/are $\underline{7,18,19,32,37}$ and $\underline{38}$.			
 3.	, , ,) or (f).	
2. ☐ Certified copies of the priority documents have		tion No	
3. ☐ Copies of the certified copies of the priority do	• •		from the
International Bureau (PCT Rule 17.2(a)).	damento nave been receiv	ed in the national stage application	nom the
* Certified copies not received:			
Applicant has THREE MONTHS FROM THE "MAILING DATE" noted below. Failure to timely comply will result in ABANDONN THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.	MENT of this application.		
 A SUBSTITUTE OATH OR DECLARATION must be subm INFORMAL PATENT APPLICATION (PTO-152) which give 			CE OF
5. CORRECTED DRAWINGS (as "replacement sheets") must	st be submitted.		
(a) \square including changes required by the Notice of Draftspers	son's Patent Drawing Revi	ew (PTO-948) attached	
1) 🔲 hereto or 2) 🔲 to Paper No./Mail Date			
(b) ☐ including changes required by the attached Examiner' Paper No./Mail Date	s Amendment / Comment	or in the Office action of	
Identifying indicia such as the application number (see 37 CFR 1 each sheet. Replacement sheet(s) should be labeled as such in t			:k) of
 DEPOSIT OF and/or INFORMATION about the depo attached Examiner's comment regarding REQUIREMENT 			the:
Attachment(s) 1. ☐ Notice of References Cited (PTO-892)	5 🗆 Notice of	Informal Patent Application	
 Notice of Preferences Gred (PTO-692) Dotice of Draftperson's Patent Drawing Review (PTO-948) 		Summary (PTO-413),	
 Information Disclosure Statements (PTO/SB/08), 	Paper No	o./Mail Date 's Amendment/Comment	
Paper No./Mail Date 4. Examiner's Comment Regarding Requirement for Deposit		's Statement of Reasons for Allowar	nce
of Biological Material	9. ☐ Other	5 Statement of Floasons for Allowal	100
/P. S./	/James S. W	 ozniak/	
Examiner, Art Unit 2626		eatent Examiner, Art Unit 2626	

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DETAILED ACTION

1. This communication is in response to the RCE with IDS filed on 12/20/2010. Claims 7, 18, 19, 32, 37, and 38 were indicated allowed over the prior art of record 09/23/2010. The claims remain pending and have been examined in view of the IDS submitted. However, the references submitted do not withdraw the allowability of the present claims. Hence, the case is in condition for allowance.

2. All previous objections and rejections directed to the Applicant's disclosure and claims not discussed in this Office Action have been withdrawn by the Examiner.

Continued Examination Under 37 CFR 1.114

3. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after allowance or after an Office action under *Ex Parte Quayle*, 25 USPQ 74, 453 O.G. 213 (Comm'r Pat. 1935). Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, prosecution in this application has been reopened pursuant to 37 CFR 1.114. Applicant's submission filed on 12/20/2010 has been entered.

Information Disclosure Statement

The information disclosure statement (IDS) submitted on 12/20/2010 is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

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Reasons for Allowance

5. Claims 7, 18, 19, 32, 37, and 38 allowed.

6. The following is an examiner's statement of reasons for allowance:

The closest prior art of record teaches Stevens et al. teaches a method of learning with an automatic speech recognition system, the method comprising; detecting a change to dictated text (see col. 26, lines 17-24, and lines 31-39, where the system recognizes an edit or revision); utilizing a computer processor that is a component of a computing device to automatically infer whether the change is a correction, or editing (see col. 26, lines 17-24, and lines 31-39, where the system recognizes an edit or revision); and if the change is inferred to be a correction, selectively learning from the nature of the correction without additional user interaction (see col. 26, lines 31-39, acoustic models are adapted based on user changes and recognition results), wherein selectively learning from the nature of correction includes: a user's pronunciation deviated from an existing pronunciation known by the system by doing a comparison (see col. 27, lines 1-21, where a comparison of an original acoustic model and a edited acoustic model is compared); determining if the corrected word exists in the user lexicon (see col. 26, lines 52-60, where the best representation of the word is determined for adaptation), selectively changing a parameter associated with the pronunciation (see col. 27, lines 1-21, when the difference is within a threshold then the acoustic model is adapted). However, Stevens does not specifically teach to selectively changing at least one parameter, forced alignment, the two separate

Page 4

determinations, and the confidence score being calculated using the function "1/[d/f/log(len 1 +len2)], where d is the distance between the recognized pronunciation and a best match in a lexicon, f is a frequency that the same pronunciation is pronounced, and lenl and len2 are the lengths of phonemes in a new pronunciation and the closest pronunciation.

Honda does teach to selectively change at least one parameter (see col. 7, lines 6-12, where acoustic model adaptation alter parameters such as the average vale and variance that defines the transition probability of the HMM). However, Honda does not specifically teach the two separate determinations, forced alignment, and the confidence score being calculated using the function "1/[d/f/log(len 1 +len2)], where d is the distance between the recognized pronunciation and a best match in a lexicon, f is a frequency that the same pronunciation is pronounced, and lenl and len2 are the lengths of phonemes in a new pronunciation and the closest pronunciation.

Beaufays et al. does teach the forced alignment of a wave (see page 2594, sect. 2, step 1, where a forced alignment of two waveforms is performed) based on at least one context word (see page 2574, sect. 2, step 2, where the context is use to determine a region of worst acoustic match and in step 3, alternative pronunciations are suggested). such as the average vale and variance that defines the transition probability of the HMM). However, Beaufays does not specifically teach the two separate determinations, and the confidence score being calculated using the function "1/[d/f/log(len 1 +len2)], where d is the distance between the recognized pronunciation and a best match in a lexicon, f is a frequency that the same pronunciation is

pronounced, and lenl and len2 are the lengths of phonemes in a new pronunciation and the closest pronunciation.

Nassiff et al. teaches a method of learning with an automatic speech recognition system, the method comprising: detecting a change to dictated text (see col. 5, lines 33-40, based on deletion or typing over the words); inferring whether the change is a correction, or editing (see col. 5, lines 33-48, correction or editing is determined based on deletion (editing) or typing over the words (correction.); and wherein inferring whether the change is a correction includes comparing a speech recognition engine score (see col. 6, lines 28-31) of the dictated text and of the changed text (see col. 7, lines 50-62); if the change is inferred to be a correction, selectively learning from the nature of the correction without additional user interaction (see col. 6, lines 45-50), wherein selectively learning from the nature of correction includes determining if the corrected word exists in the user lexicon, selectively learning the pronunciation (see col. 6, lines 45-50, the language model is updated when the replacement word is found on the alternative word list.). Furthermore, Nassiff does teach the determination if a user's pronunciation deviated from existing pronunciations known by the system by a predetermined statistical quantity and if it is found in the system (see Figure 4). However, Nassiff does not specifically teach the predetermined statistical quantity being calculated using the function "1/[d/f/log(len 1 +len2)], where d is the distance between the recognized pronunciation and a best match in a lexicon, f is a frequency that the same pronunciation is pronounced, and lenl and len2 are the lengths of phonemes in a new pronunciation and the closest pronunciation.

The present invention's use of the confidence metric enables pronunciation to be selectively added while preventing errors from misalignment, incorrect inferences, and without decreasing system effectiveness (see Applicant's Specification, page 23, last paragraph).

None of the cited reference either alone or in combination thereof teach or suggest the "detecting", "inferring", "learning", "building", and "generating" along with the confidence score being calculated using the function "1/[d/f/log(len 1 +len2)], where d is the distance between the recognized pronunciation and a best match in a lexicon, f is a frequency that the same pronunciation is pronounced, and lenl and len2 are the lengths of phonemes in a new pronunciation and the closest pronunciation, respectively." as recited in claims 7 and 37.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to PARAS SHAH whose telephone number is (571)270-1650. The examiner can normally be reached on MON.-THURS. 7:30a.m.-4:00p.m. EST.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Wozniak can be reached on (571)272-7632. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/James S. Wozniak/ Supervisory Patent Examiner, Art Unit 2626

/Paras Shah/ Examiner, Art Unit 2626

02/10/2011